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                       UNITED STATES DISTRICT COURT
7
                            DISTRICT OF NEVADA
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   MICHAEL J. CONLON,
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                                        CV-N-01-700-DWH-VPC
         Plaintiff,
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                                        MOTION TO DISMISS SECOND
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         v.
                                        AMENDED COMPLAINT OR, IN THE
                                        ALTERNATIVE, FOR SUMMARY
   UNITED STATES OF AMERICA;
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    UNITED STATES DEPARTMENT OF
                                        JUDGMENT
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    JUSTICE;
    JOHN ASHCROFT, Attorney General;)
    FEDERAL BUREAU OF PRISONS;
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    NANCY BAILEY, Warden of FGI,
    Safford, Arizona;
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    UNITED STATES PAROLE COMMISSION;
    JOHN R. SIMPSON; U.S. Parole
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    Commissioner;
    UNITED STATES PROBATION OFFICE;
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    KEVIN LOWRY, U.S. Probation
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    Officer;
    PATRICK FOY, U.S. Probation
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    Officer:
    THOMAS COLLINS, U.S. Probation
    Officer;
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    JOHN LAWHEAD, U.S. Probation
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    Officer;
    UNITED STATES SENTENCING
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    COMMISSION;
              Defendants.
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         Come now each of the named defendants in this action,
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    individually and collectively, through their undersigned counsel,
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    and move this Court pursuant to Rule 7(b), Fed.R.Civ.P., for
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dismissal of this action or, in the alternative, for summary judgment.

The motion to dismiss is made on the grounds that this Court lacks subject matter jurisdiction as to the claims against certain defendants, this Court lacks personal jurisdiction over certain defendants, service of process has been insufficient as to certain defendants, and the second amended complaint fails to state a viable claim for relief against any of the named defendants.

The alternative motion for summary judgment is made on the grounds that plaintiff can prove no facts which would entitle him to the relief requested against any of the named defendants.

This motion is based on the attached memorandum of law and the Statement of Undisputed Material Facts (and corresponding attachments), filed and served herewith. This motion is brought pursuant to Rules 12(b)(1),(2),(5), and (6) and Rule 56, Fed.R.Civ.P.

For the reasons described in the attached memorandum of law, this action should be dismissed or, in the alternative, summary judgment entered against plaintiff and in favor of each of the defendants.

Respectfully submitted,

DANIEL G. BOGDEN United States Attorney

GREG ADDINGTON
Assistant United States Attorney

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MEMORANDUM OF LAW IN SUPPORT OF MOTION TO DISMISS OR, IN THE ALTERNATIVE, FOR SUMMARY JUDGMENT

I. PROCEDURAL HISTORY

Plaintiff Conlon commenced this action by filing a complaint pro se on December 14, 2001. The complaint sought damages from multiple individual and institutional defendants, all of them having some affiliation with the federal government. The focus of Conlon's complaint was his "illegal" incarceration by federal authorities. Specifically, Conlon contended that he was entitled to damages on account of the erroneous effect given to Conlon's various parole violations. No summons was issued in connection with the complaint.

On March 19, 2002, Conlon (represented by counsel) filed his first amended complaint and obtained issuance of summonses directed to some of the defendants. By Notice (#5) issued April 18, 2002, this Court directed Conlon to demonstrate service of the summons and complaint or suffer dismissal of the action. In response, Conlon filed several summonses with information which purported to show effective service on some (but not all) of the defendants.¹

On May 24, 2002, this Court entered its Order (#13) dismissing this action as to defendants Thomas Collins, Patrick

The summonses filed by Conlon (## 6-12) showed "service" by certified mail on the following defendants: 1) U.S. Sentencing Commission, 2) John Simpson (Parole Commissioner), 3) U.S. Parole Commission, 4) U.S. Bureau of Prisons, 5) U.S. Federal Judiciary, Probation Office, 6) Attorney General John Ashcroft, and 7) Nancy Bailey (former Warden of BOP facility).

Foy, John Lawhead, Kevin Lowery, and the United States of America. The basis of the dismissal Order was Conlon's failure to serve the summons and complaint within the time provided by Rule 4(m), Fed.R.Civ.P. Conlon sought reconsideration of this dismissal Order but Conlon's motion for reconsideration was denied on July 23, 2002 (#18).

In the meantime, all of the defendants (including those already dismissed by the May 24, 2002 Order) sought dismissal or summary judgment through a motion (#15) which was supported by declarations of the various individual defendants with personal knowledge of Conlon's parole status. Among other things, the motion sought dismissal on the grounds of insufficient service of process, failure of the complaint to state a viable claim for relief, and immunity enjoyed by the individual defendants. motion was opposed by Conlon. In addition to opposing the motion, Conlon sought leave to file a second amended complaint (#32), a motion which was granted by Order entered November 19, 2002 (#35). Accordingly, the second amended complaint was filed on the same day (#42) - with the previously-filed dispositive motion (#15) still pending. The Court solicited supplemental memoranda from the parties regarding the pending dispositive motion, with the parties submitting their respective supplemental memoranda (## 36, 37).

By Order (#41) entered March 14, 2003, this Court denied the motion (#15) to dismiss without prejudice. The Court concluded that the filing of the second amended complaint had left the

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motion to dismiss the first amended complaint "moot." In the same Order, the Court noted that Conlon had "not demonstrated that the defendants have been properly served under Rule 4" and specifically noted the time limits for such service under Rule 4(m), Fed.R.Civ.P. This Court directed Conlon to file proof of timely and effective service of process within sixty days.

At the time of this Court's Order of March 14, 2003, no summonses had been issued (or apparently requested) in connection with the second amended complaint and no service of the second amended complaint had been effected on any of the individual defendants.² In response to the March 14, 2003, Order, Conlon obtained issuance of eleven summonses (#43) on March 24, 2003. Presumably, Conlon is now attempting service upon the various individual defendants.

As discussed below, Conlon can not possibly obtain timely and effective service of the summons and second amended complaint, as directed by the Order (#41) of March 14, 2003, because the time period for obtaining such service has expired (and, in fact, expired prior to the issuance of the summonses on the second amended complaint). Accordingly, this action should be dismissed as to all of the individual defendants (and dismissed for the second time as to defendants Collins, Foy, Lawhead, and Lowery (see Order #13)).

²⁶ It is obvious that no service could possibly have been effected prior to March 24, 2003 regarding the second amended complaint since no summons was issued until that date (#43).

Additionally, dismissal is sought as to all individual defendants on the grounds that the complaint fails to state a viable claim for relief as to them and that they enjoy absolute or qualified immunity from suit. Also, this Court lacks personal jurisdiction as to defendant Nancy Bailey.³

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In addition to the dismissal of the individual defendants on various grounds, this motion seeks dismissal of the named "institutional" defendants on multiple grounds. Specifically, it is argued that the Federal Tort Claims Act (FTCA) claims are barred by the statute of limitations, no other remaining claims are viable against any of the remaining institutional defendants, and this Court lacks subject matter jurisdiction over such non-existent claims.

Alternatively, summary judgment is sought against Conlon with respect to all claims alleged against all defendants, individual and institutional. The original declarations of Kevin Lowey, Pat Foy, Thomas Collins, Nancy Bailey, and Greg Addington were previously submitted to the Court in connection with the previous dispositive motion (#15). For the Court's convenience, copies of those declarations are attached to the Statement of Undisputed Material Facts, filed and served herewith.

These defendants must assert all of these grounds for dismissal in this motion in order to avoid waiver of such defenses under Rule 12(h), Fed.R.Civ.P.

II. INTRODUCTION

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Conlon was sentenced to a term of imprisonment in 1986 for narcotics offenses. He was paroled at various times and his parole was revoked by the U.S. Parole Commission for parole violations. During one of those paroles in late 1997 and early 1998, he was briefly supervised by U.S. Probation Officer Kevin Lowry. That parole was revoked by the U.S. Parole Commission on account of parole violations. He was again released on parole in The parole certificate in late 1999 directed Conlon to report to the probation office in the Western District of Texas within 72 hours. Conlon told his BOP case manager that he (Conlon) wanted to report to the District of Nevada. Conlon did not, however, report to either probation office (Texas or Nevada) and, accordingly, a recommendation was made to the U.S. Parole Commission to again revoke parole. A warrant of arrest was issued and Conlon was eventually apprehended and returned to custody. As matters progressed, Conlon initiated habeas corpus proceedings in the District of Arizona (where he was incarcerated), claiming that he had been incarcerated too long on account of irregularities in the computation of his sentence following parole revocation. Those proceedings resulted in the August 27, 2001 Order which is attached to the complaint as exhibit 1. The order directed that Conlon be released without further parole no later than August 31, 2001.

Based on the allegations of the second amended complaint, Conlon seeks recovery of damages against various defendants,

asserting claims under the Federal Tort Claims Act (FTCA), as well as under the Constitution (based on <u>Bivens</u>) and 42 U.S.C., section 1985.

The named defendants include six "institutional" defendants. They are (1) the United States, (2) the U.S. Department of Justice, (3) The Bureau of Prisons, (4) the U.S. Parole Commission, (5) the U.S. Probation Office, and (6) the U.S. Sentencing Commission. As discussed below, the United States is the only proper party to an FTCA claim and the FTCA claim is untimely and must be dismissed. The remaining institutional defendants must be dismissed from all claims because no viable claim is asserted as to such defendants.

Conlon also names seven "individual" defendants. They are

(1) Attorney General John Ashcroft, (2) Nancy Bailey (former

warden at the BOP Safford, Arizona facility), (3) John Simpson

(U.S. Parole Commissioner), and four U.S. Probation Officers

(Kevin Lowry, Pat Foy, Thomas Collins, and John Lawhead). As

discussed below, all of these defendants must be dismissed

because they enjoy absolute or qualified immunity from suit, this

Court lacks personal jurisdiction as to some of them, there has

been insufficient service of process as to all of them, and the

complaint fails to state a viable claim for relief as to any of

them.

To the extent any claims survive the motions for dismissal, summary judgment is sought as to any remaining defendants on the grounds that no viable claim can be maintained by Conlon based on

the facts established through the attached declarations and evidentiary materials.

III. THE DEFENDANTS

The allegations of the second amended complaint betray a fundamental misunderstanding of the roles which are played by the various agencies in the computation of criminal sentences, the decisions which are made concerning parole for "old law" offenders, and the fixing of release dates for federal prisoners. Because an understanding of these roles is important to an understanding of each defendant's conduct, the following brief discussion is provided regarding these agencies and their functions.

The United States Parole Commission is a federal agency that has jurisdiction, inter alia, over federal prisoners who committed their offenses prior to November 1, 1987. Such prisoners are referred to as "old law" federal prisoners in contrast to "new law" federal prisoners who committed their offenses after November 1, 1987, are sentenced under the Sentencing Reform Act, are not eligible for parole, and are not under the Commission's jurisdiction. See 18 USC, sections 4201-4218; 28 CFR, sections 2.1-2.66. The parole Commission is made up of Parole Commissioners who are appointed by the President and approved by the Senate. The Commissioners make parole decisions

⁴ Sections 4201-4218 of Title 18, USC, have been repealed but remain in effect for old law prisoners.

for the individuals under the Commission's jurisdiction. decisions include decisions to grant or deny parole to prisoners, to revoke the parole for parolees, and to revoke the mandatory release of mandatory releasees. When the Parole Commission denies a prisoner release on parole, the prisoner is released by the Bureau of Prisons via mandatory release based on good time credits. Mandatory releasees are under the Parole Commission's jurisdiction upon their release as if they had been released on parole; the only difference between a parolee and a mandatory releasee is that the mandatory releasee's sentence terminates 180 days before his full term date (his "180-day date") unless his mandatory release is revoked prior to that date. See 18 USC, sections 4163-64. Only a Parole Commissioner (not a staff person or a probation officer) has the authority to order a prisoner released on parole, issue a warrant, or revoke parole or mandatory release.

U.S. Probation Officers are employees of the federal district court. However, they also work for the Parole Commission when they supervise parolees, special parolees, and mandatory releasees who are under the Commission's jurisdiction.

U.S. Probation Officers are responsible for reporting to the Commission and making recommendations to the Commission.

The Bureau of Prisons is the federal agency that is charged with housing federal inmates and computing their release dates.

The computation of an old law prisoner's release date is first based on the judgment and commitment order but may also be

affected by subsequent orders of the Parole Commission revoking the person's parole and/or ordering forfeited certain period of time spent on parole.

If the Parole Commission revokes the parole of a parolee or the mandatory release of a mandatory releasee and orders the individual to serve a term of incarceration, he is returned to the Bureau of Prisons to serve the term. The Bureau of Prisons does not make the revocation decision; rather, it houses the revoked parolee or mandatory releasee for the period of time ordered by the Commission and it recalculates the person's release date based on the Parole Commission's order (which is called a "Notice of Action").

The U.S. Sentencing Commission was created by the Sentencing Reform Act in 1984. The Sentencing Commission is an independent federal agency in the judicial branch of government. It is comprised of seven voting members who are appointed by the President and confirmed by the Senate. The Sentencing Commission's duties include developing guidelines for sentencing in federal courts, collecting data about crime and sentencing, and serving as a resource to Congress, the Executive Branch, and the Judiciary on crime and sentencing policy. The Sentencing Commission does not compute the sentences of individual federal offenders.

Defendant John Ashcroft is the Attorney General of the United States. Other than being named in the caption of the complaint and identified in paragraph 3 of the complaint, he is

nowhere mentioned in the complaint and no factual allegations are made against him.

Defendant John Simpson is a U.S. Parole Commissioner. Other than being named in the caption of the complaint and identified in paragraph 9 of the complaint, he is nowhere mentioned in the complaint and there are no factual allegations made against him.

Defendant Nancy Bailey is the former warden of the Safford, Arizona corrections facility which housed Conlon during his federal custody. It appears as though the Fifth Claim for Relief (False Imprisonment) and Sixth Claim for Relief (Cruel and Unusual Imprisonment) are specifically directed against defendant Bailey.

Defendants Lowry, Foy, Collins, and Lawhead are U.S.

Probation Officers (Lawhead is now retired) in Nevada. Their respective roles in the supervision of Conlon's parole are described in the declarations attached hereto. It should be noted that, as to defendant Collins, he is named in the caption of the complaint and identified in paragraph 6 of the complaint. He is referred to again in paragraph 79 with a conclusory allegation that he "conspired" with others to violate Conlon's Constitutional rights. He is nowhere else mentioned in the complaint and there are no factual allegations made against him.

IV. STATEMENT OF FACTS

See Statement of Undisputed Materials Facts, filed and served herewith.

2 V. ARGUMENT

A. This Action Should Be Dismissed on Multiple Grounds.

<u>i</u>. The Institutional Defendants Are Improper Parties To An Action Under the Constitution or Under 42 USC, Section 1985.

Conlon brings his action against these defendants under 42 USC, section 1985(3) as well as various provisions of the U.S. Constitution. It is well settled, however, that section 1985, by its own terms, imposes liability only upon "persons" as that term is defined. Federal agencies are not "persons" as that term is used in section 1985. See Monell v. Dept. of Social Services, 436 U.S. 658 (1978) (holding that only local governmental agencies are "persons" within the meaning of section 1983).

Likewise, these federal institutional defendants may not be sued under section 1985 or under the Constitutional theories of tort liability because a federal agency may not be sued in its own name unless Congress has specifically authorized such suit in legislation containing explicit authorizing language. See Blackmar v. Guerre, 342 U.S. 512 (1952) (government agency may not be sued eo nomine without explicit authorizing statute).

A suit for damages against a federal agency (and against a federal official in his or her official capacity) is essentially a suit against the United States. See Brandon v. Holt, 469 U.S. 464, 471-73 (1985); Lehner v. United States, 685 F.2d 1187, 1189 (9th Cir. 1982), cert. denied, 460 U.S. 1039 (1983); Gilbert v. DaGorssa, 756 F.2d 1455, 1458 (9th Cir. 1985); Daly-Murphy, 837 F.2d at 355. The United States, as sovereign, is immune from

suit except as it consents to be sued. <u>See Lehman v. Nakshian</u>, 453 U.S. 156, 160 (1981). Thus, a damages claim against a federal agency (or a federal official in his or her official capacity) must be dismissed on the ground of sovereign immunity if the United States has not consented to be sued for damages regarding the claim. <u>See Ross v. United States</u>, 574 F. Supp. 536, 540-41 (S.D.N.Y. 1983); <u>Safeway Portland Employees' Federal Credit Union v. FDIC</u>, 506 F.2d 1213 (9th Cir. 1974). In this instance, Conlon has explicitly based some of his damages claims on the Constitution and on a statute which does not impose liability on federal agencies.

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Constitutional tort actions are not maintainable against the United States and thus are not maintainable against federal agencies. See Jaffee v. United States, 592 F.2d 712, 717 (3d Cir. 1979) (FTCA does not authorize suits against the United States based on a constitutional tort theory); Boda v. United States, 698 F.2d 1174, 1176 (11th Cir. 1983) (constitutional torts are barred by sovereign immunity, and the court lacks jurisdiction to consider such a claim). Thus, neither the United States nor its agencies is subject to suits based on constitutional tort. See Daly-Murphy, 820 F.2d at 1478; Arnsberg v. United States, 757 F.2d 971, 980 (9th Cir. 1985), cert. denied, 475 U.S. 1010 (1986) (Bivens does not provide a means of cutting through the sovereign immunity of the United States). Therefore, insofar as Conlon's claims against the institutional defendants are construed (as they are plainly

alleged) to be a constitutional cause of action, the suit is barred by sovereign immunity and must be dismissed as to them.

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 ${f ii}$. Other than Against the United States, no FTCA Claim May Be Maintained Against Any of the Defendants.

Sovereign immunity bars all suits against the United States and its agencies/employees except in accordance with the explicit terms of the statutory waiver of such immunity. Cox v. Secretary of Labor, 739 Supp. 28, 30 (D.D.C. 1990); Kline v. Republic of El Salvador, 603 F.Supp. 1313, 1316 (D.D.C. 1985); see also United States v. Testan, 424 U.S. 392, 399 (1976); United States v. Mitchell, 445 U.S. 535, 538 (1980). The FTCA, 28 U.S.C., sections 2671-ff, specifically sets forth the exclusive judicial remedy provided to persons who are damaged by tortious conduct committed by federal employees or agencies, together with the conditions under which the remedy may be invoked. 28 U.S.C., section 2679(b).

One such condition is contained in 28 U.S.C., section 2679(a), which provides that only the United States is a proper defendant to such a suit, not individual federal agencies or employees. Section 2679(b)(1) specifically provides that "[a]ny other civil action ... against the employee or the employee's estate is precluded..." It is thus clear that, under the FTCA, only the United States is a proper defendant to a suit for money damages and no damages action can be maintained against the particular federal agency or federal employee. 28 U.S.C., section 2679(a) and (b). Allen v. Veteran's Administration, 749

F.2d 1386, 1388 (9th Cir. 1984) ("The Federal Tort Claims Act provides that the United States is the sole party which may be sued for personal injuries arising out of the negligence of its employees. 28 U.S.C., sections 1346(b), 2679(a). Individual agencies may not be sued."); Galvin v. OSHA, 860 F.2d 181, 183 (5th Cir. 1988) ("an FTCA claim against a federal agency or employer as opposed to the United States itself must be dismissed for want of jurisdiction"); Stewart v. United States, 655 F.2d 741 (7th Cir. 1981) (dismissing FTCA action brought against U.S. Postal Service and postal employee driver); Hagmeyer v. Department of Treasury, 647 F.Supp. 1300, 1304-05 (D.D.C.) (dismissing FTCA claim against the Department of the Treasury); Cox v. Secretary of Labor, 739 F. Supp. at 29 (suit against the secretary of Labor rather than the government itself must be dismissed for lack of subject matter jurisdiction). also Cooper v. U.S. Postal Service, 740 F.2d 714 (9th Cir. 1984); Pink v. Modoc Indian Health Project, Inc., 157 F.3d 1185, 1188 (9th Cir. 1998). "[T]he courts have consistently held that an agency or government employee can not be sued eo nomine under the Federal Tort Claims Act." Galvin v. OSHA, 860 F.2d at 183.

Here, Conlon explicitly states that he is alleging (among other things) an FTCA cause of action. The United States is the only proper defendant in such an action and all other defendants (institutional and individual) must be dismissed from the FTCA claims. See Gregory v. Mitchell, 634 F.2d 199 (5th Cir. 1981).

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iii. The FTCA Action Against the United States is Untimely.

Conlon specifically invokes the Court's jurisdiction for his claims against the United States (as a discrete defendant) under the Federal Tort Claims Act (FTCA). It is the defendants' position that the United States is the only proper defendant in this entire action and that all other defendants must be dismissed. The FTCA claim against the United States, however, is untimely and must be dismissed. The FTCA claim is untimely because Conlon did not file a timely administrative tort claim, a jurisdictional prerequisite under the FTCA.

Conlon claims that he was falsely arrested, based on an improper calculation of his parole status, in February 1998 and was thereafter imprisoned unlawfully. See Second Amended Complaint, paras. 20-23. Plaintiff has attached to his second amended complaint (as exhibit A) various letters acknowledging receipt of administrative tort claims submitted by plaintiff in July 2001. Any FTCA action based on those administrative tort claims would be barred because the claims are untimely.

There is a two-year limitations period for submission of the required administrative claim under the FTCA. 28 USC, section 2401(b); Davis v. United States, 642 F.2d 328, 330 (9th Cir. 1981), cert. denied, 455 U.S. 919 (1982). The date on which a claim accrues is determined by federal law. Washington v. United States, 769 F.2d 1436, 1438 (9th Cir. 1985). Here, the alleged tort (false arrest) occurred in February 1998 and his damages began to accumulate on that date. All of his alleged damages

arise from the single event (arrest) which occurred in February 1998. Accordingly, the administrative claims filed in July 2001 were untimely and can not provide the jurisdictional basis for an FTCA cause of action.

Conlon may attempt to salvage his proposed FTCA claim by arguing that he was subjected to a continuing tort which effectively tolled the statute of limitations until he was released from prison. Such an argument would fail. For a continuing violation to be established, there must be a series of tortious acts one or more of which falls within the limitations period. Western Center for Journalism v. Cederquist, 235 F.3d 1153, 1157 (9th Cir. 2000). A continuing violation is occasioned by continual unlawful acts rather than by the continual ill effects from an original violation. Ward v. Caulk, 650 F.2d 1144 (9th Cir. 1981). Assuming that a tort was committed in February 1998 (or earlier) when plaintiff was arrested, the tort was completed at that time and plaintiff was required to submit an administrative claim within two years thereafter in order to support a viable FTCA claim.

In <u>Sandutch v. Muroski</u>, 684 F.2d 252 (3rd Cir. 1982), the Third Circuit rejected the notion that a continuing incarceration was a continuing tort. In the absence of allegations of unlawful acts while incarcerated, the continuing incarceration was simply the continuing ill effects from the initial tortious conduct which resulted in the incarceration. <u>Id</u>. at 254. The same result was reached in <u>Maslauskas v. United States</u>, 583 F.Supp. 349

(D.Mass. 1984) (FTCA suit untimely based on negligence of Parole Commission-incarceration was not continuing violation).

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Accordingly, the FTCA claim against the United States must be dismissed for lack of subject matter jurisdictioon.

 \underline{iv} . Defendants Simpson, Lawhead, Lowry, Foy, and Collins Should Be Dismissed Based on Absolute Immunity.

Conlon sues defendants Simpson, Lawhead, Lowry, Foy, and Collins in both their individual and official capacities. They may properly claim immunity from suit in their individual capacities for their actions.

First, the Court lacks subject-matter jurisdiction over defendants Simpson, Lawhead, Lowry, Foy, and Collins because they may properly claim absolute immunity from suit for their actions. In order to protect them from harassment and to allow them to perform their duties, government officials are entitled to claim an appropriate form of immunity from suits for damages. Harlow v. Fitzgerald, 457 U.S. 800, 806 (1982). Parole officials, including Regional Commissioners, are absolutely immune from suit for their decision-making. See Fendler v. U.S. Parole Com'n, 774 F.2d 975, 979-80 (9th Cir. 1985); Walrath v. United States, 35 F.3d 277 (7th Cir. 1994); Anderson v. Boyd, 714 F.2d 906 (9th Sellars v. Procunier, 641 F.2d 1295, 1298 (9th Cir. Cir. 1983); 1981), cert. denied, 454 U.S. 1102 (1981); Walker v. Prisoner Review Board, 769 F.2d 396, 398 (7th Cir. 1985), cert. denied, 474 U.S. 1065 (1986). This firmly established immunity is based upon the quasi-judicial nature of parole decisions and the threat that retaliatory suits will undermine independent decisionmaking. Like judges, parole officials must,

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render impartial decisions in cases and controversies that excite strong feelings because the litigant's liberty is at stake.

*** Just as the decision-making process of judges must be kept free from fear, so must that of parole board officials. Without this protection, there is the same danger that the decision-maker might not impartially adjudicate the often difficult cases that come before them.

<u>Sellars</u>, 641 F.2d at 1303. Thus, U.S. Parole Commissioner John R. Simpson is absolutely immune from suit for his actions of issuing warrants and revoking parole and mandatory release terms.

Other parole officials who participate in quasi-judicial functions are also entitled to absolute immunity from suit. See Cleavinger v. Saxner, 474 U.S. 193, 204 (1985); Fry v. Malaragno, 939 F.2d 832, 837 (9th Cir. 1991); Sellars, 641 F.2d at 1295; Anderson, 714 F.2d at 908-09 (parole officials are entitled to absolute quasi-judicial immunity for the execution of parole revocation proceedings). Thus, absolute immunity is not limited to the parole decision-makers, but extends to the staff employees who assist the Commissioners in their responsibilities. See Cleavinger, 474 U.S. at 200 ("With this judicial immunity firmly established, the Court has extended absolute immunity to certain others who perform functions closely associated with the judicial process. The federal hearing examiner and administrative law judge have been afforded absolute immunity."); Allison v. California Adult Authority, 419 F.2d 822, 823 (9th Cir. 1969).

It is immaterial whether the act complained of occurred before, during, or after a parole hearing. What matters for immunity purposes is that the act is "entwined with the exercise ... of quasi-judicial power." Anderson, 714 F.2d at 909.

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Defendants Lawhead, Lowry, Foy, and Collins are (or were) U.S. Probation Officers. Their recommendations to the U.S. Parole Commission are an intricate part of the parole adjudicatory process. On that basis, they are entitled to absolute immunity for their alleged actions of submitting a violation report and request for a warrant to the Parole Commission in 1998 and notifying the Commission in 2000 of petitioner's failure to report for supervision. Federal probation officers are entitled to absolute immunity for quasi-prosecutorial functions of initiating parole revocation proceedings, which are an intricate part of the parole adjudicatory process. See Briscoe v. LaHue, 460 U.S. 325, 335 (1983) (police officer testifying in a criminal trial granted absolute immunity); Imbler v. Pachtman, 424 U.S. 409 (1976); Fry, 939 F.2d at 836-37 (actions of IRS attorneys in initiating a prosecution and prosecuting plaintiffs was intimately connected to the judicial process, and therefore suit on those actions was barred by absolute immunity); Thompson v. Duke, 882 F.2d 1180, 1184-85 (7th Cir. 1989); Meyers v. Contra Costa Dep't of Social Services, 812 F.2d 1154 (9th Cir. 1987); Johnson v. Kelsh, 664 F.Supp. 162 (S.D.N.Y. 1987) (parole officer who initiates revocation process entitled to absolute immunity

because role is comparable to that of a prosecutor in a criminal trial).

Thus, because their alleged actions of submitting a violation report and request for a warrant to the Parole Commission in 1998 and for notifying the Commission in 2000 of petitioner's failure to report for supervision were "entwined with the exercise ... of quasi-judicial power," defendants Lawhead, Lowry, Foy, and Collins are also entitled to absolute immunity from suit. Anderson, 714 F.2d at 909.

Accordingly, defendants Simpson, Lawhead, Foy, Collins, and Lowry must be dismissed from this action for lack of subject matter jurisdiction and failure to state a claim against for which relief may be granted.

 \underline{v} . Defendants Lawhead, Foy, Simpson, Collins, Lowry, and Bailey Should Be Dismissed on the Grounds of Qualified Immunity.

In any event, if they are not entitled to absolute immunity, defendants Simpson, Lawhead, Lowry, Foy, and Collins are entitled to qualified immunity, pursuant to Anderson v. Creighton, 483 U.S. 635 (1987); Davis v. Scherer, 468 U.S. 183, 191 (1984), and Harlow, 457 U.S. at 806; Siegert v. Gilley, 111 S.Ct. 1789 (1991); Gomez v. Toledo, 446 U.S. 635 (1960)). Likewise, Nancy Bailey (former warden of the BOP facility in Safford, Arizona) is entitled to qualified immunity.

Qualified immunity, pursuant to the Supreme Court's decision in <u>Harlow</u>, 457 U.S. 800, permits federal employees to be subject to suit for actions taken in the course of their employment only

if their conduct violates "clearly established statutory or constitutional rights of which a reasonable person would have known." 457 U.S. at 818. See Anderson, 483 U.S. at 639-40; Capoeman v. Reed, 754 F.2d 1512 (9th Cir. 1985) (discussing "clearly established" requirement). Whether an official protected by qualified immunity may be held personally liable for an alleged unlawful official action generally turns on the "objective legal reasonableness" of the official's action.

Anderson, 483 U.S. at 639. An official is entitled to prompt dismissal based on this defense if the complaint fails to plead a violation of established law. See Harlow, 457 U.S. at 818;

Mitchell v. Forsyth, 472 U.S. 511 (1985); Fendler, 774 F.2d at 980; Arnsberg, 757 F.2d at 981.

If the Court concludes that defendants Simpson, Lawhead, Lowry, Foy, and Collins are not entitled to absolute immunity for their alleged actions (as discussed in section iv, above), they certainly are entitled to qualified immunity (as is defendant Bailey). All of their alleged actions were taken in the course of their federal employment and their actions did not violate any clearly established constitutional or statutory right of which a reasonable person would have known. See Fendler, 774 F.2d at 980. It is plain from the face of plaintiff's second amended complaint that the actions of these individual defendants were taken in their official capacities as a U.S. Parole Commissioner, U.S. Probation Officers, or as a federal prison warden.

immunity only if the complaint alleges facts that, if true, would constitute a clear invasion of a constitutional or statutory right secured to federal parolees. <u>See Mitchell</u>, 472 U.S. at 528.

In this case, the conduct of defendants Simpson, Lawhead, Lowry, Foy, and Collins did not violate clearly established statutory or constitutional rights of which a reasonable person would have known. Even assuming that the reports given to the Parole Commission by the U.S. Probation Office were erroneous, Conlon has no constitutional protection against having an erroneous report filed with the Parole Commission by his U.S. Probation Officer. Even if his 2000 special parole certificate listed the Western District of Texas as his district of supervision, petitioner has no constitutional protection against having the District of Nevada (where he had told the Bureau of Prisons he intended to go) notify the Parole Commission that he had failed to report for supervision in either the Western District of Texas or the District of Nevada. A U.S. Probation Officer is obliged to report to the Commission. See 28 C.F.R. § The Constitution only provides protection at the stage of a hearing if such a report results in the parolee's arrest as a parole violator. See Morrissey v. Brewer, 408 U.S. 471 (1971). A constitutional violation occurs if an arrested parolee receives no hearing to contest the truth of the report that caused his arrest. Conlon does not claim that he was not given a revocation hearing after he was taken into custody in 1998 under the Parole

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Commission's warrant. The record shows that Conlon was provided with a preliminary interview and a parole revocation hearing in 1998 (Exhibits 6 & 7), and that he was provided with due process before, at, and after the hearing. See 18 U.S.C. § 4214 (setting out due process rights for parole revocation) and § 4215 (administrative appeal right). He was also given a preliminary interview in 2000 (Exhibit 18), prior to his release by Judge Browning's court order (Exhibit 20).

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It is apparent, as well, that the Bureau of Prisons correctly computed Conlon's sentence and release date based on the orders and rulings of the U.S. Parole Commission, as BOP is required to do.⁵

Accordingly, there is no "established law" which these defendants may be said to have violated. See Fendler, 774 F.2d at 980 (plaintiff "has not alleged a violation of a clearly established constitutional right."). Since these defendants can be deprived of the defense of qualified immunity only if the complaint alleges facts that, if true, would constitute a clear invasion of a constitutional or statutory right secured to federal parolees in existing case law, they are entitled to the prompt dismissal or entry of summary judgment in this case. See Harlow, 457 U.S. 800; Schultz v. Sundberg, 759 F.2d 714, 717-18 (9th Cir. 1985) (the decision in Harlow "was motivated by a

⁵ It should also be noted that defendant Bailey does not personally compute inmate sentences and release dates (and did not compute Conlon's). As discussed below, she can not be held personally liable for damages on account of the errors of her subordinates (if there were any such errors).

desire to allow for more expeditious disposition of suits against government officials on summary judgment.").

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 \underline{vi} . The Claims Against Defendants Lawhead, Collins, and Bailey Must Be Dismissed For failure to State a Claim.

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Conlon's claim against defendants Lawhead, Collins, and Bailey should be dismissed for failure to state a claim under Rule 12(b)(6).

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Neither Collins, Lawhead, nor Bailey had any direct role or participation in Conlon's parole, incarceration, or sentencing Each of them functioned as supervisors in their respective organizations and are being sued for the alleged misconduct of their subordinates. Conlon must allege and prove that these defendants personally participated in or directed the alleged unconstitutional actions of which he complains. See Watts v. Morgan, 572 F. Supp. 1385, 1392 (N.D. Ill. 1983) (claim of constitutional injury based on a theory of vicarious liability not actionable under § 1983). These supervisory defendants may not be held vicariously liable for the action of their subordinates. See Terrell v. Brewer, 935 F.2d 1015, 1018 (9th Cir. 1991); Boettger v. Moore, 483 F.2d 86, 87 (9th Cir. 1973) (higher government officials are not liable under the doctrine of respondeat superior for lower officials because both are employees of the government, and higher officials are not the employers of the lower officials); Adams v. Pate, 445 F.2d 105, 107 (7th Cir. 1971) (respondeat superior inapplicable where money damages are sought). See Rizzo v. Goode, 423 U.S. 362 (1976);

<u>Sportique Fashions, Inc. v. Sullivan</u>, 597 F.2d 664, 666 (9th Cir. 1979); <u>Kulow v. Nix</u>, 28 F.3d 855 (8th Cir. 1994).

Therefore, to the extent that Conlon's claims against these defendants is based on the doctrine of respondent superior, they should be dismissed for failure to state a claim.

<u>vii</u>. Conlon Has Failed to State a Claim Against Defendants Simpson, Ashcroft, and Collins.

Conlon has also failed to state a claim against defendants Simpson, Ashcroft, and Collins because he does not make any specific allegations regarding what unlawful actions were taken by any of these defendants. Damage actions against government officials are subject to a heightened pleading standard, and, under that standard, Conlon has failed to state a claim against these defendants. Even without a heightened pleading standard, the complaint is utterly silent regarding any conduct personally undertaken by these defendants against Conlon. See Siegert, 111 S.Ct at 1793 (plaintiff failed "to establish the violation of any constitutional right at all."); Smith, 807 F.2d at 200 ("Bare allegations of improper purpose . . . do not suffice to drag officials into the mire of discovery.").

As to defendant Simpson, he is identified in the caption of the complaint and (correctly) identified as a U.S. Parole Commissioner in paragraph 9 of the complaint. His name appears nowhere else in the complaint.

As to defendant Ashcroft, he is identified in the caption of the complaint and (correctly) identified as the United States Attorney General in paragraph 3 of the complaint. His name appears nowhere else in the complaint.

As to defendant Collins, he is identified in the caption of the complaint and (correctly) identified as a U.S. Probation Officer in paragraph 6 of the complaint. There is a conclusory allegation at paragraph 79 that he "conspired" with others to deprive Conlon of various Constitutional rights (with no description of what Collins allegedly did in furtherance of this conspiracy). His name appears nowhere else in the complaint.

Since there are no claims stated against these defendants, they must be dismissed.

<u>viii</u>. Conlon's claims against all individual defendants should be dismissed for his failure to serve them with the summons and complaint.

A federal court must obtain personal jurisdiction over the defendant before it can issue a binding judgment in a suit where plaintiff seeks money damages from the defendant. In the absence of technically correct service of process, the court has no jurisdiction to render a personal judgment. Moskovits v. DEA, 774 F.Supp. 649 (D.D.C. 1991). Actual notice by the defendant is not sufficient and does not substitute for compliance with the personal service requirement in accordance with the applicable rule. Moskovits, id.; DeFazio v. Delta Air Lines, 849 F.Supp. 98 (D.Mass. 1994).

⁶ It is rather unlikely that John Ashcroft would have had any direct involvement in Conlon's parole status from 1997 through 2000. At that time, Ashcroft was a U.S. Senator.

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The requirement of personal service is no less firm in so-called <u>Bivens</u> actions brought against federal employees for Constitutional torts. In order to maintain such an action, which seeks recovery of money damages from the individual employee's personal assets, proper service must be effected on the defendant employee. <u>Daly-Murphy v. Winston</u>, 837 F.2d 348, 355 (9th Cir. 1987) ("failure to effect individual service is fatal to a Bivens action"); <u>Despain v. Salt Lake Area Gang Unit</u>, 13 F.3d 1436 (10th Cir. 1994); <u>Tajeddini v.Gluch</u>, 942 F.Supp. 772 (D.Conn. 1996); <u>Huskey v. Quinlan</u>, 785 F.Supp. 4 (D.D.C. 1992) (dismissing Bivens case for failing to serve defendant).

A federal court may only use those methods of service authorized by rule or statute. Omni Capital International Ltd. v. Rudolff Wolff & Co., 484 U.S. 97, 104-08 91987). In the present context, the provisions of Rule 4, Fed.R.Civ.P., describe the required service of process which must be effected.

Prior to the 2000 amendments to Rule 4, there was substantial disagreement among the Circuit Courts concerning the issue of whether institutional service on the United States (in addition to individual service on the individual defendant) was required in Bivens actions against individual federal employees.

See Vaccaro v. Dobre, 81 F.3d 854 (9th Cir. 1996) (not required);

To state a <u>Bivens</u> claim, a plaintiff must allege facts showing that a person acting under color of federal law deprived the plaintiff of a right, privilege, or immunity secured by the U.S. Constitution. <u>Bivens v. Six Unknown Named Agents</u>, 403 U.S. 388, 397 (1981).

Armstrong v. Sears, 33 F.3d 182 (2d Cir. 1994) (not required);

Light v. Wolf, 816 F.2d 746 (D.C.Cir. 1987) (required);

Ecclesiastical Order of Ism of Am v. Chasin, 845 F.2d 113 (6th Cir. 1988) (required). The 2000 amendments to Rule 4 put this issue to rest by adding Rule 4(i)(2)(B), specifically addressing the service requirement in suits against federal employees sued in their individual capacities for acts or omissions occurring in connection with their official duties. The rule makes plain that service upon the individual is required (by means specified) and service upon the United States is required. See Advisory Committee Notes, Rule 4 (2000 amendments).

Service upon the United States is effected by (1) delivery of the summons and complaint to the U.S. Attorney or designated official in the U.S. Attorney's Office or by mailing a copy of the summons and complaint by certified/registered mail to the U.S. Attorney's Office addressed to the "civil process clerk" and (2) mailing a copy of the summons and complaint by certified/registered mail to the Attorney General in Washington, D.C. See Rule 4(i)(1).

In addition to the delivery of the summons and complaint as set forth above, service upon the defendants must be <u>timely</u>. In this Court's Order (#41) of March 14, 2003, Conlon was directed to file proof of <u>timely</u> service as required under Rule 4(m), Fed.R.Civ.P. Conlon can not do so because the time period for effective service of the second amended complaint has expired

(and, in fact, expired before any summons was issued on the second amended complaint).

In 1983, in view of a host of cases which were sitting unserved and moribund on various court dockets, Rule 4 of the Federal Rules of Civil procedure was amended to motivate plaintiffs to secure timely service of their actions. Rule 4(m) provides that a complaint must be served, in the absence of good cause otherwise shown, within 120 days of the filing of the complaint.

"[Rule 4(m)] sets 120 days as a presumption of unreasonable and dilatory delay in service of the complaint in any civil suit." Amella v. United States, 732 F.2d 711, 713 (9th Cir. 1984). "The rule is intended to force parties and their attorneys to be diligent in prosecuting their causes of action." Wei v. State of Hawaii, 763 F.2d 370, 372 (9th Cir. 1985). See also Whale v. United States, 792 F.2d 951 (9th Cir. 1986); United States ex. rel. Deloss v. Kenner General, 764 F.2d 707 (9th Cir. 1985); Reynolds v. United States, 782 F.2d 837 (9th Cir. 1986). These cases reflect the insistence that Rule 4(m) be utilized to vindicate the interests which the rule was designed to protect.

Conlon's second amended complaint was filed on November 19, 2002. The 120-day period of time for effecting timely service expired on March 19, 2003. No summons was issued on the second amended complaint until March 24, 2003. It is, therefore, impossible for Conlon to have effected timely and effective service on any of the individual defendants within the time

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provided by Rule 4(m). Accordingly, this action should be dismissed as to each of them (as was already done as to some of them by this Court's Order (#13) entered May 24, 2002).

 \underline{ix} . This Court lacks personal jurisdiction over Simpson and Bailey.

Defendant U.S. Parole Commissioner John R. Simpson resides in the State of Maryland. The Court lacks personal jurisdiction over him, insofar as he is sued in his individual capacity. He is not a resident of the State of Nevada, he performs no work in the State of Nevada, and the Court does not have jurisdiction over him just because he is a U.S. government employee. See Stafford v. Briggs, 444 U.S. 527, 544-45 (1980). Therefore, defendant Simpson should be dismissed from this action in his individual capacity.

Likewise, the Court lacks personal jurisdiction over defendant Nancy Bailey. She resides in the State of New Jersey, performs no work in Nevada, and did not commit any act which would create jurisdiction in the state of Nevada.

As to defendants Simpson and Bailey, the second amended complaint should be dismissed for lack of personal jurisdiction.

 \underline{x} . Conlon has failed to state a claim under 42 U.S.C. § 1985. Conlon has also failed to state a claim under 42 U.S.C. §

It would seem unlikely that Conlon would be able to show "good cause" for his failure to timely serve the second amended complaint when he has previously suffered a Rule 4(m) dismissal with respect to his first amended complaint.

1985(3) (as he alleges), because he has not shown invidious class-based discrimination by any of the named defendants. In enacting section 1985, which prohibits conspiracies to deprive individuals of their civil rights, Congress did not intend to create a general federal tort law, i.e., an all-purpose cause of action to sue for any conspiracy to violate Conlon's legal rights. To state a claim under this section, Conlon must show some racial, or otherwise class-based invidiously discriminatory animus. See Burns v. County of King, 883 F.2d 819 (9th Cir. 1989); Bretz v. Kelman, 773 F.2d 1026, 1028-30 (9th Cir. 1985); Harrison v. Springdale Water and Sewer Com'n, 780 F.2d 1422, 1429-30 (8th Cir. 1986). Consequently, Conlon's claim under 42 U.S.C. § 1985 must be dismissed, pursuant to Rule 12(b)(6), for failure to state a claim.

B. Summary Judgment Should Be Entered in Favor of the Defendants.

Under Rule 56(c), Fed.R.Civ.P., summary judgment is proper where the "pleadings, depositions, answers to interrogatories, and admissions on file, together with the affidavits, if any, show that there is no genuine issue as to any material fact and that the moving party is entitled to a judgment as a matter of law." The moving party has the burden of demonstrating the absence of a genuine issue of fact for trial. Anderson v. Liberty Lobby, Inc., 477 U.S. 242, 256 (1986). If the moving party satisfies the burden, the party opposing the motion must set

forth specific facts showing that there remains a genuine issue for trial. Rule 56(e), Fed.R.Civ.P.

A non-moving party who bears the burden of proof at trial to an element essential to his case (such as plaintiff herein) must make a showing sufficient to establish a genuine dispute of fact with respect to the existence of that element of the case or be subject to summary judgment. Celotex Corp. v. Catrett, 477 U.S. 317, 322 (1986). Such an issue of fact is a genuine issue if it reasonably can be resolved in favor of either party. Anderson, 477 U.S. at 250-51. Mere disagreement or the bald assertion that a genuine issue of material fact exists does not preclude the entry of summary judgment. Harper v. Wallingford, 877 F.2d 728 (9th Cir. 1989); Famous Brands v. David Sherman Corp., 814 F.2d 517, 522 (8th Cir. 1987).

The undisputed material facts of this case are that Conlon's incarceration was the result of decisions by the U.S. Parole Commission and a legitimate good-faith legal dispute concerning the computation of his release date. There is no basis for imposition of damages against any these named defendants because the allegations of negligence, discriminatory intent, intentional denial of civil rights, and conspiracy to deny Conlon's civil rights can not be sustained.

Accordingly, to the extent any claims survive the motion to dismiss analyses above, summary judgment should be entered in favor of the defendants and against plaintiff.

V. CONCLUSION

Based on the foregoing, this action should be dismissed with prejudice or, in the alternative, summary judgment should be entered in favor of the defendants and against plaintiff.

Respectfully submitted,

DANIEL G. BOGDEN United States Actorney

Assistant United States Attorney

CERTIFICATE OF SERVICE

I certify that a copy of the foregoing MOTION TO DISMISS SECOND AMENDED COMPLAINT OR, IN THE ALTERNATIVE, FOR SUMMARY JUDGMENT was mailed by first-class mail, postage pre-paid, on April ______, 2003:

Wm. Patterson Cashill 410 California Avenue Reno, NV 89509

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